

FORM PTO-1390  
(REV 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

MTS-3326US

U.S. APPLI

10/089,776-

INTERNATIONAL APPLICATION NO.  
PCT/JP00/06926INTERNATIONAL FILING DATE  
05.10.00 (5 Oct 2000)PRIORITY DATE CLAIMED  
06.10.99 (6 Oct 1999)

## TITLE OF INVENTION

LENS, OPTICAL HEAD, OPTICAL INFORMATION WRITING/READING APPARATUS AND OPTICAL  
INFORMATION RECORDING MEDIUM WRITING/READING METHOD

## APPLICANT(S) FOR DO/EO/US

Hideki Hayashi; Sadao Mizuno

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11 to 20 below concern documents(s) or information included:**

11. ☒ An Information Disclosure Statement under 37 U.S.C. 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☐ Other items or information:

U.S. APPLICATION NO. (if known use 37 CFR 1.51) <b>10/089,000</b>		INTERNATIONAL APPLICATION NO. <b>PCT/JP00/06926</b>		ATTORNEY DOCKET NO. <b>MTS-3326US</b>	
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21. ☐ The following fees are submitted:

**BASIC NATIONAL FEE (37 CFR 1.492(a)(1) - (5)):**

☐ Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO... .. **\$1040.00**

☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO.... .. **\$890.00**

☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... **\$740.00**

☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... **\$710.00**

☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) ..... **\$100.00**

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

Surcharge of **\$130.00** for furnishing the oath or declaration later than ☐ 20 ☒ 30 Months from the earliest claimed priority date (37 CFR 1.492(e)).

CLAIMS	NUMBER FILED	EXTRA NUMBER	RATE
Total claims	- 20 =		X \$
Independent claims	- 3 =		X \$
MULTIPLE DEPENDENT CLAIM(S) (if applicable) <input type="checkbox"/>			+ \$

**TOTAL OF ABOVE CALCULATIONS =**

☐ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.

**SUBTOTAL =**

Processing fee of **\$130.00** for furnishing the English translation later than ☐ 20 ☐ 30 Months from the earliest claimed priority date (37 CFR 1.492(f)).

**TOTAL NATIONAL FEE =**

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). **\$40.00** per property

**TOTAL FEES ENCLOSED =**

	Amount to be refunded:	\$
	Charged:	\$

**CALCULATIONS PTO USE ONLY**

a. ☐ Two checks totaling the amount of **\$0.00** to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. **18-0350**. A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:


Allan Ratner  
 Ratner & Prestia  
 P.O. Box 980  
 Valley Forge, PA 19482  
 (610) 407-0700  
 (610) 407-0701

SIGNATURE

Allan Ratner  
NAME

19,717  
REGISTRATION NUMBER

August 23, 2002  
DATE

<b>CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)</b> Applicant(s): <b>Hideki Hayashi et al.</b>			Docket No. <b>MTS-3326US</b>	
Serial No. <b>10/089,998</b>	Filing Date <b>July 30, 2002</b>	Examiner <b>To Be Assigned</b>	Group Art Unit <b>To Be Assigned</b>	
Invention: <b>LENS, OPTICAL HEAD, OPTICAL INFORMATION WRITING/READING APPARATUS AND OPTICAL INFORMATION RECORDING MEDIUM WRITING/READING METHOD</b>				
<p>I hereby certify that the following correspondence:</p> <div style="border: 1px solid black; padding: 10px; min-height: 100px; margin: 10px 0;"> <b>Form PTO-1390 (in duplicate) and its related enclosures</b> </div> <p style="text-align: center; margin: 10px 0;"><i>(Identify type of correspondence)</i></p> <p>Is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to:          The Assistant Commissioner for Patents, Washington, D.C. 20231 on <b><u>August 23, 2002</u></b></p> <div style="text-align: right; margin-top: 20px;"> <div style="margin-bottom: 10px;"> <b>KATHLEEN LIBBY</b>  <i>(Typed or Printed Name of Person Mailing Correspondence)</i> </div> <div style="margin-bottom: 10px;">   <i>(Signature of Person Mailing Correspondence)</i> </div> <div> <b>EV 115 251 087 US</b>  <i>("Express Mail" Mailing Label Number)</i> </div> </div> <p style="text-align: center; margin-top: 30px;"> <b>Note: Each paper must have its own certificate of mailing.</b> </p>				